



Corres. and Mail  
**BOX AF**

Docket No. 3635-4000

AF  
3600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Stephen J. HODGDON et al.

Group Art Unit: 3624

Serial No.: 09/259,770

Examiner: Jagdish PATEL

Filed: February 26, 1999

For: METHOD OF RISK MANAGEMENT AND OF ACHIEVING A RECOMMENDED  
ASSET ALLOCATION AND WITHDRAWAL STRATEGY, AND COMPUTER-  
READABLE MEDIUM, APPARATUS AND COMPUTER PROGRAM THEREOF

CERTIFICATE OF MAILING (37 C.F.R. §1.8(a))

Commissioner for Patents  
Washington, DC 20231

Sir:

I hereby certify that the attached:

1. Amendment After Final under 37 C.F.R. §1.116;
2. Amendment Fee Transmittal (NO Fee Due);
3. Return Postcard

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing  
are being deposited with the United States Postal Service on date shown below with sufficient  
postage as first-class mail in an envelope addressed to the: **BOX: AF**, Commissioner for Patents,  
Washington, DC 20231.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: February 21, 2003

By: Matthew K. Blackburn

Matthew K. Blackburn  
Registration No. 47,428

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
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GROUP 3600



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AMENDMENT FEE TRANSMITTAL

Commissioner for Patents  
Washington, DC 20231

Sir:

Transmitted herewith is an Amendment for the above-identified application.

☒ No additional fee is required.

☐ The additional fee has been calculated as shown below:

**RECEIVED**

MAR 03 2003

**GROUP 3600**

CLAIMS AS AMENDED

	Claims Remaining After Amendment	Highest No. Covered by Previous Payments	Extra	Rate	Additional Fee
Total Claims*	32 -	89	0	\$18.00/ \$9.00	\$ 0.00
Independent Claims	7 -	29	0	\$84.00/ \$42.00	\$ 0.00
Multiple Dependent Claims	(If claims added by amendment include Multiple Dependent Claim(s) and there was no Multiple Dependent Claim(s) in application before amendment add \$280.00 to additional fee (\$140.00 for small entity).				\$ 0.00
TOTAL					\$ 0.00

\*Includes all independent and single dependent claims and all claims referred to in multiple dependent claims. See 37 C.F.R. §1.75(c).

☐ Small entity status is or has been claimed.

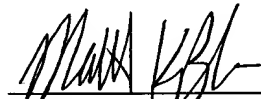
Reduced Fees Under 37 C.F.R. §1.9(f) paid herewith \$

- ☐ \_\_\_\_\_ Pages Sequence Listing
- ☐ \_\_\_\_\_ Computer disk(s) containing substitute Sequence Listing
- ☐ Statement under 37 C.F.R. §1.825(b) that the computer and paper copies of the substitute Sequence Listing are the same.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is attached.
- ☐ Charge fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for filing this amendment, including all fees pursuant to 37 CFR §1.17 for its timely consideration, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3635-4000. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: February 21, 2002

By: \_\_\_\_\_

  
Matthew K. Blackburn  
Registration No. 47,428

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